

Michigan Department of Civil Service

# REGULATION

<b>Appointing Authority Letter Reference:</b>  CS-6940	<b>Effective Date:</b>  March 18, 2001	<b>Index Reference:</b>  Compliance, Classification, Selection, Compensation, Employee Ratings, Corrective Action	<b>Regulation Number:</b>  <b>1.06</b>
<b>Issuing Bureau:</b>  Office of Compliance	<b>Rule Reference:</b>  Rules 1-5 (Compliance) 5-3 (Compensation Schedules)		<b>Replaces:</b>  Reg. 4.15 (CS-6897, April 25, 1999)
<b>Subject:</b>  <b>AUDIT AND CORRECTION OF PERSONNEL ACTIONS</b>			

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### 1. **PURPOSE**

This regulation sets forth the standards for audit and correction of personnel actions processed by appointing authorities.

### 2. **CIVIL SERVICE RULE REFERENCE**

#### ***Rule 1-5 Compliance***

*The department of civil service shall periodically audit an appointing authority to ensure that the appointing authority is complying with civil service rules and regulations governing personnel transactions. If the state personnel director determines that an appointing authority has not complied with the rules and regulations, the state personnel director is authorized to direct the appointing authority to take necessary corrective action. If the appointing authority fails to take corrective action, the state personnel director is authorized to proceed with the recommended corrective action.*

### ***Rule 5-3 Compensation Schedule***

\* \* \*

#### ***5-3.9 Approval and Disapproval of Disbursements for the Classified Payroll.***

*The state personnel director shall certify each payroll for the classified service. Payroll certification is based on computerized payroll system edits of payroll calculations and personnel transactions and the audit of personnel transactions for compliance with civil service rules and regulations. The director shall establish edit requirements and audit procedures. The director may delete from the payroll any item that cannot be certified under this rule and shall give notice of the action, together with the reason for the action, to the appointing authority concerned.*

### **3. STANDARDS**

- A.** All personnel actions must be processed in accordance with the civil service rules and regulations and departmental procedures (for example: departmental SES/Group 4 evaluation plans).
- B.** The Office of Compliance (OOC) shall review personnel actions to ensure compliance with applicable rules and regulations.
  - 1.** Review is conducted utilizing information entered into the Human Resources Management Network (HRMN) and other available data as actions are processed.
  - 2.** On-site reviews at department human resource offices are conducted to ensure agency compliance with documentation requirements.
- C.** The OOC shall notify appointing authorities of actions requiring additional documentation with specific timeframes for response.
- D.** The OOC shall notify appointing authorities when corrective action is necessary with specific timeframes for the action to be taken.
- E.** The OOC will follow up to ensure appropriate action is taken.
- F.** The OOC may notify the state personnel director if the appointing authority fails to take appropriate action.
- G.** The state personnel director may direct Department of Civil Service staff to proceed with corrective action and provide notification to the appointing authority and the OOC of the action taken.

#### 4. PROCEDURE

<u>Responsibility</u>	<u>Action</u>
Office of Compliance	1. Reviews personnel actions to ensure compliance.
Appointing Authority	2. Provides notification to the appointing authority requesting additional information, corrective action, or an on-site visit.
Office of Compliance	3. Responds to OOC notification by providing requested documentation, certifying the corrective action, or scheduling the on-site review.
Appointing Authority	4. Reviews information received from appointing authority and proceeds to clear the action, if appropriate, or follows up to verify the corrective action was properly processed. If an on-site review is conducted, notifies the appointing authority of results and issues a request for corrective action, if necessary.
Office of Compliance	5. Takes additional appropriate action if directed by the OOC.
State Personnel Director	6. May notify the state personnel director if corrective action is not forthcoming.
Department of Civil Service	7. Determines if corrective action is to be taken and directs action to be processed in the HRMN by civil service staff.
Office of Compliance	8. Provides notification to appointing authority and the OOC of action taken.
	9. Clears audit issue.

## **CONTACT**

Questions regarding this regulation should be directed to the Office of Compliance, Department of Civil Service, P.O. Box 30002, 400 South Pine Street, Lansing, Michigan 48909, (517) 373-7623 or 1-800-788-1766, or MDCS-Compliance@state.mi.us.

**NOTE:** Regulations are issued by the State Personnel Director under authority granted in the State of Michigan *Constitution* and the *Michigan Civil Service Commission Rules*. Regulations that implement Commission Rules are subordinate to those Rules.